



07-09-07

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Jones et al.

: Group Art Unit: 3694

Serial No.: 10/676,056

: Examiner: Shahid R. Merchant

Filed: September 30, 2003

: Attorney Docket No.: 006878.114502

For: METHOD AND SYSTEM FOR
ANALYZING A CAPITAL
STRUCTURE FOR A COMPANY

:
:

INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

This Information Disclosure Statement is filed pursuant to 37 C.F.R. 1.97(c)(2). In this regard, it is noted that there has not yet been a mailing of a final action, a notice of allowance or an action that otherwise closes prosecution.

Of further note, no representation is intended that a complete search has been made by the applicants or that no better art references than those provided herewith are available. Moreover, the filing of this Information Disclosure Statement shall not be construed to be an admission that the information cited is, or is considered to be, material to patentability.

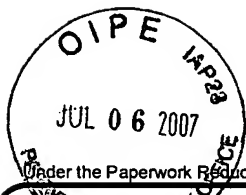
07/09/2007 HDESTA1 00000021 501561 10676056
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Respectfully submitted,
GREENBERG TRAURIG, LLP

Dated: July 6, 2007

By: /Matthew B. Tropper/
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PTO/SB/17 (07-07)

Approved for use through 06/30/2010, OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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Effective on 12/08/2004.
Fees published in the Consolidated Appropriations Act, 2005 (H.R. 4818).

FEE TRANSMITTAL

For FY 2007

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 180

Complete if Known

Application Number	10/676,056
Filing Date	September 30, 2003
First Named Inventor	Emerson Jones
Examiner Name	Shahid R. Merchant
Art Unit	3694
Attorney Docket No.	006878.114502

METHOD OF PAYMENT (check all that apply)☐ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): _____☒ Deposit Account Deposit Account Number: 50-1561 Deposit Account Name: _____

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, except for the filing fee
☒ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 ☒ Credit any overpayments

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

FEE CALCULATION**1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

2. EXCESS CLAIM FEES**Fee Description**

	Fee (\$)	Small Entity Fee (\$)
Each claim over 20 (including Reissues)	50	25
Each independent claim over 3 (including Reissues)	200	100
Multiple dependent claims	360	180

Total Claims	Extra Claims	Fee (\$)	Fee Paid (\$)
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- 20 or HP = _____ x _____ = _____

HP = highest number of total claims paid for, if greater than 20.

Indep. Claims	Extra Claims	Fee (\$)	Fee Paid (\$)
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- 3 or HP = _____ x _____ = _____

HP = highest number of independent claims paid for, if greater than 3.

3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Fee (\$)	Fee Paid (\$)
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- 100 = _____ / 50 = _____ (round up to a whole number) x _____ = _____

4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount)

Other (e.g., late filing surcharge): Submission of Information Disclosure Statement

Fees Paid (\$)

180

SUBMITTED BY

Signature		Registration No. (Attorney/Agent)	32,938	Telephone	212-801-2244
Name (Print/Type)	Barry J. Schindler			Date	July 6, 2007

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Substitute for form 1449A/PTO

Complete If Known

(Use as many sheets as necessary)

Sheet 2 of 2

Application Number	10/676,056
Filing Date	Sept. 30, 2003
First Named Inventor	Hs. Hsu, Jr.
Art Unit	3694
Examiner Name	Shahid R. Merchant
Attorney Docket Number	006878-119301

[illegible][illegible]

Date	
Considered	

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1460, Alexandria, VA 22313-1460.**

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Substitute for form 1448B/PTO			<div>Complete if Known</div> <div>Application Number</div> <div>Filing Date</div> <div>First Named Inventor</div> <div>Art Unit</div> <div>Examiner Name</div> <div>Attorney Docket Number</div>	
<div>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</div> <div>(Use as many sheets as necessary)</div>			<div>10/076,056</div> <div>Sept. 30, 2003</div> <div>H. Kanaghi</div> <div>3694</div> <div>Shahid R. Merchant</div> <div>006878.114502</div>	
Sheet	3	of	3	

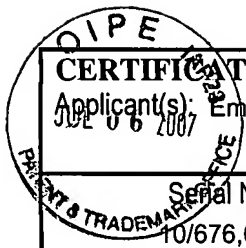
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Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1460, Alexandria, VA 22313-1460.

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**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Emerson Jones et al.

Docket Number

006878.114502

Serial No.

10/676,056

Filing Date

September 30, 2003

Examiner

Shahid R. Merchant

Group Art Unit

3694

Invention: METHOD AND SYSTEM FOR ANALYZING A CAPITAL STRUCTURE FOR A COMPANY

I hereby certify that the following correspondence:

Information Disclosure Statement (1 page);
PTO SB/08a & SB/08b (3 pgs);
4 non-patent literature documents
Fee transmittal authorizing deduction of \$180.00 from Deposit Account 50-1561
Return Receipt Postcard

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

July 6, 2007

(Date)

Christine Lucas

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